



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: READE, RONALD, et al. Confirmation No. 2586
Serial No.: 09/739,391
Filed: DECEMBER 15, 2000
Title: PARTICLE BEAM BIAXIAL ORIENTATION OF A SUBSTRATE FOR
EPITAXIAL CRYSTAL GROWTH
TC/A.U.: 1765
Examiner: KUNDEMUND, ROBERT M.
Docket No.: IB-1632
Cust. No.: 8156

**Mail Stop Issue Fee
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22213-1450**

**REQUEST FOR VERIFICATION OF CONSIDERATION OF
INFORMATION DISCLOSURE STATEMENT**

Dear Sir:

In response to the Notice of Allowability mailed March 8, 2004, the Applicant respectfully requests verification that the Examiner has considered:

1. page 8 of 8 of the Applicant's Information Disclosure Statement filed on December 15, 2000, a copy of which is enclosed as Exhibit A;
2. the Applicant's Information Disclosure Statement filed on January 19, 2001, a copy of which is enclosed as Exhibit B;
3. the Applicant's Information Disclosure Statement filed on September 27, 2002, a copy of which is enclosed as Exhibit C; and
4. the Applicant's Information Disclosure Statement filed on December 2,

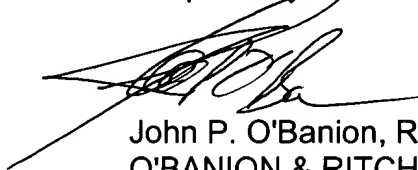
2003, a copy of which is enclosed as Exhibit D.

Each of the foregoing Information Disclosure Statements was received by the USPTO but the Applicant has not been provided with initialed copies showing that the references were considered.

Please provide the Applicant with verification of consideration of the foregoing Information Disclosure Statements.

Date: 6/7/2004

Respectfully submitted,

A handwritten signature in black ink, appearing to read "John P. O'Banion", is written over a horizontal line.

John P. O'Banion, Reg. No. 33,201
O'BANION & RITCHEY LLP
400 Capitol Mall, Suite 1550
Sacramento, CA 95814
(916) 498-1010



DOCKET NO. IB-1632

Express Mailing Label No. EK340215350US PTO

Honorable Commissioner:

Please acknowledge receipt of the following documents:



12/15/00

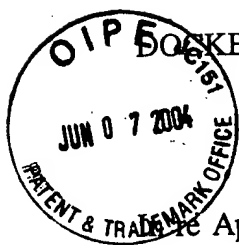
- ☒ Utility Patent Application Transmittal Form dated December 15, 2000;
- ☒ Fee Transmittal (in duplicate) dated December 15, 2000;
- ☒ Check in the amount of Six Hundred One Dollars (\$601.00);
- ☒ Patent Application of Ronald P. Reade, Paul H. Berdahl, and Richard E. Russo entitled "PARTICLE BEAM-BIAXIAL ORIENTATION OF A SUBSTRATE FOR EPITAXIAL CRYSTAL GROWTH" comprised of 29 Total Pages of Application and 34 Total Claims;
- ☒ Five (5) sheets of formal drawings;
- ☒ Signed Declaration, Power of Attorney, and Petition,
- ☒ Information Disclosure Statement dated December 15, 2000, and Twenty-Seven (27) accompanying disclosures;
- ☒ "Recordation Form Cover Sheet Patents Only" dated December 15, 2000;
- ☒ Check in the amount of Forty Dollars (\$40.00); and
- ☒ Signed Assignment.

Please date stamp received and deposit in U.S. Mail.

RECEIVED JAN 08

2000

or



DOCKET NO. IB-1632

Express Mailing Label No. EK340215250US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Ronald P. Reade et. al.

Filed: Herewith

Serial Number: Unknown

Title: "Particle Beam Biaxial Orientation of a
Substrate for Epitaxial Crystal Growth"

Group Art Unit: Unknown

Examiner: Unknown

INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.56

Honorable Commissioner of Patents
and Trademarks
Washington, D.C. 20231

December 15, 2000

Sir:

Pursuant to 37 CFR 1.56, Applicants submit the references listed on the attached Form PTO-1449 (modified). Copies of each of the references are enclosed.

Respectfully submitted,

By: John P. Taylor

John P. Taylor, Attorney for Applicants
Registration No. 22,369
Telephone No. (909) 699-7551

John P. Taylor
Post Office Box 1598
Temecula, California 92593-1598

FORM PTO-1449 (Modified)
U.S. Department of Commerce, Patent and Trademark Office

Docket No.

Serial No.

IB-1632

Applicant

Ronald P. Reade et al.

Filing Date

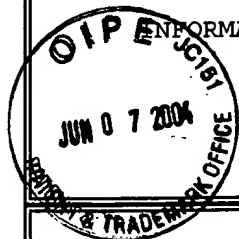
Group

Herewith

Unknown

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use several sheets if necessary)



U.S. Patent Documents

| *Examiner Initial | | Document Number | Date | Name | Class | Subclass | Filing Date If Appropriate |
|-------------------|----|-----------------|------|------|-------|----------|----------------------------|
| | AA | | | | | | |
| | AB | | | | | | |
| | AC | | | | | | |
| | AD | | | | | | |
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| | AH | | | | | | |
| | AI | | | | | | |
| | AJ | | | | | | |
| | AK | | | | | | |

Foreign Patent Documents

Translation

| | | Document Number | Date | Country | Class | Subclass | Yes | No |
|--|----|-----------------|------|---------|-------|----------|-----|----|
| | AL | | | | | | | |
| | AM | | | | | | | |
| | AN | | | | | | | |
| | AO | | | | | | | |
| | AP | | | | | | | |

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

| | |
|----|---|
| AR | Van Wyk, G.N., et al., "Ion Bombardment Induced Preferential Orientation in Polycrystalline Cu Targets", <u>Radiation Effects</u> , Vol. 38, 1978, pp. 245-247. |
| AS | Wang, C.P. et al., "Deposition of In-Plane Textured MgO on Amorphous Si ₃ N ₄ Substrates by Ion-Beam-Assisted Deposition and Comparisons with Ion-Beam-Assisted Deposited Yttria-Stabilized-Zirconia", <u>Appl. Phys. Lett.</u> 71 (20), 17 November 1997, pp. 2955-2957. |
| AT | |

Examiner

Date Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant



Practitioner's Docket No. LBNL IB-1632

In re application of: Ronald P. Reade, Paul H. Berdahl, and Richard E. Russo

Serial No.: 09/739,391

Group Art Unit: Unknown

Filed: December 15, 2000

Examiner: Unknown

For: PARTICLE BEAM BIAxIAL ORIENTATION OF A SUBSTRATE FOR
EPITAXIAL CRYSTAL GROWTH

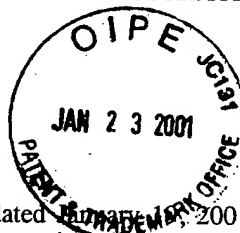
Honorable Commissioner:

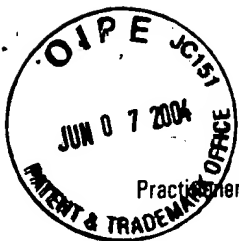
Please acknowledge receipt of the following documents:

X "Transmittal of Information Disclosure Statement" dated January 23, 2001;
X Information Disclosure Statement and two (2) accompanying disclosures.

Please date stamp received and deposit in U.S. Mail.

RECEIVED JAN 29 2001





Practitioner's Docket No. LBNL IB-1632

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Ronald P. Reade, Paul H. Berdahl, and Richard E. Russo

Serial No.: 09/739,391

Group Art Unit: Unknown

Filed: December 15, 2000

Examiner: Unknown

For: PARTICLE BEAM BIAXIAL ORIENTATION OF A SUBSTRATE FOR EPITAXIAL CRYSTAL GROWTH

Assistant Commissioner for Patents
Washington, D.C. 20231

Date: January 19, 2001

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT

- ☒ WITHIN THREE MONTHS OF FILING OR BEFORE MAILING OF FIRST OFFICE ACTION
(37 C.F.R. 1.97(b))
- ☐ BEFORE MAILING DATE OF EITHER A FINAL ACTION OR NOTICE OF ALLOWANCE
(37 C.F.R. 1.97(c))
- ☐ AFTER MAILING DATE OF FINAL ACTION OR NOTICE OF ALLOWANCE BUT BEFORE
PAYMENT OF ISSUE FEE (37 C.F.R. 1.97(d))

Pursuant to 37 CFR 1.56, Applicants hereby submit the references listed on the attached form PTO-1449 (modified). Copies of each of the references are enclosed.

CERTIFICATE OF MAILING/TRANSMISSION

I hereby certify that this correspondence is, on the date shown below, being:

MAILING

☒ deposited with the United States Postal Service with sufficient postage as first class mail, in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Date: January 19, 2001

FACSIMILE

☐ transmitted by facsimile to the Patent and Trademark Office.

John P. Taylor
Signature
John P. Taylor
(Type or print name of person certifying)

I. TIME OF TRANSMITTAL OF ACCOMPANYING INFORMATION DISCLOSURE STATEMENT

- A. ☒ THIS INFORMATION DISCLOSURE STATEMENT IS SUBMITTED WITHIN THREE MONTHS OF FILING OR BEFORE MAILING OF FIRST OFFICE ACTION (37 C.F.R. 1.97(b)).

The information disclosure statement transmitted herewith is being filed:

- ☒ (1) Within three months of the filing date of a national application.
- ☐ (2) Within three months of the date of entry of the national stage as set forth in § 1.491 in an international application.
- ☐ (3) Before the mailing date of a first Office Action on the merits.
- ☐ (4) To the best of the undersigned's knowledge, the information disclosure statement submitted herewith is being filed before the mailing date of a first Office action on the merits under 37 C.F.R. 1.97(b)(3). However, in the event that the USPTO has mailed an Office Action not yet received by the undersigned, a statement under 37 C.F.R. 1.97(e) is enclosed, since the disclosures submitted herewith were received by Applicants less than three months prior to the mailing date of this submittal.

- B. ☐ THIS INFORMATION DISCLOSURE STATEMENT IS SUBMITTED BEFORE MAILING DATE OF EITHER A FINAL ACTION OR NOTICE OF ALLOWANCE (37 C.F.R. 1.97(c)).

The information disclosure statement transmitted herewith is being filed before the mailing date of either a final action under § 1.113 or a notice of allowance under § 1.311, whichever occurs first, and is accompanied by either:

- ☐ (1) a statement as specified in 37 C.F.R. 1.97(e).
- ☐ (2) the fee set forth in 37 C.F.R. 1.17(p) for submission of an information disclosure statement under § 1.97(c). (\$240.00).

- C. ☐ THIS INFORMATION DISCLOSURE STATEMENT IS SUBMITTED AFTER MAILING DATE OF FINAL ACTION OR NOTICE OF ALLOWANCE BUT BEFORE PAYMENT OF ISSUE FEE (37 C.F.R. 1.97(d)).

The information disclosure statement transmitted herewith is being filed *after* a final action under § 1.113, or a notice of allowance under § 1.311, whichever occurs first, but before, or simultaneously with, the payment of the issue fee.

In accordance with the requirements of 37 C.F.R. 1.97(d):

- ☐ (1) Accompanying this transmittal is a statement as specified in 37 C.F.R. 1.97(e).
- ☐ (2) Applicant hereby petitions for the consideration of the accompanying information disclosure statement under 37 C.F.R. 1.97(d)(2).
- ☐ (3) Applicant submits the petition fee set forth in § 1.17(i) (\$130.00).

II. ☐ **STATEMENT FOR INFORMATION DISCLOSURE UNDER 37 C.F.R. § 1.97(e)**

I, the person(s) signing below state:

- ☐ (1) that each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. 37 C.F.R. 1.97(e)(1).

OR

- ☐ (2) that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of the information disclosure statement. 37 C.F.R. 1.97(e)(2).

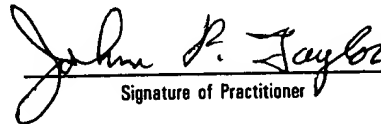
III. FEE DUE

- ☒ No Fee due under 37 C.F.R. 1.97(b).
- ☐ No Fee due under 37 C.F.R. 1.97(c).
- ☐ Fee under 37 C.F.R. 1.97(c) \$240.00 (37 C.F.R. 1.17(p)).
- ☐ Petition fee under 37 C.F.R. 1.97(d) \$130.00 (37 C.F.R. 1.17(i)).
-

IV. METHOD OF PAYMENT OF FEE

- ☐ Attached is a check for \$_____.
- ☐ Charge Account 20-0092 \$_____.

If any additional fees are due, please charge Account 20-0092.


Signature of Practitioner

John P. Taylor
(Type or print name of practitioner)

Attorney for Applicants
Registration No. 22,369
Telephone No. (909) 699-7551

Mailing Address:

John P. Taylor
Post Office Box 1598
Temecula, California 92593-1598

FORM PTO-1449 (Modified)
U.S. Department of Commerce, Patent and Trademark Office

Docket No.

Serial No.

IB-1632

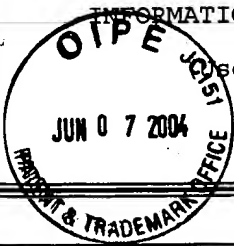
09/739,391

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use several sheets if necessary)

Applicant

Ronald P. Reade et al.

Filing Date
December 15,
2000Group
Unknown

U.S. Patent Documents

| *Examiner Initial | | Document Number | Date | Name | Class | Subclass | Filing Date If Appropriate |
|-------------------|----|-----------------|----------|-----------|-------|----------|----------------------------|
| | AA | 5,262,394 | 11/16/93 | Wu et al. | 505 | 1 | 12/27/91 |
| | AB | | | | | | |
| | AC | | | | | | |
| | AD | | | | | | |
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| | AI | | | | | | |
| | AJ | | | | | | |
| | AK | | | | | | |

Foreign Patent Documents

Translation

| | | Document Number | Date | Country | Class | Subclass | Yes | No |
|--|----|-----------------|------|---------|-------|----------|-----|----|
| | AL | | | | | | | |
| | AM | | | | | | | |
| | AN | | | | | | | |
| | AO | | | | | | | |
| | AP | | | | | | | |

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

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|----|--|
| AR | Wiesmann, J., et al., "Large-Area Deposition of Biaxially Textured YSZ Buffer Layers Using an IBAD-Process", <u>Nucl. Instr. and Meth. in Phys. Res. B</u> 120, 1996, pp. 290-292. |
| AS | |
| AT | |

Examiner

Date Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.



The United States Patent and Trademark Office mail room stamp hereon acknowledges receipt of the following items:

For: PARTICLE BEAM BIAxIAL ORIENTATION OF A SUBSTRATE FOR EPITAXIAL CRYSTAL GROWTH
In the names of RONALD P. READE; PAUL H. BERDAHL; RICHARD E. RUSSO
Serial No. 09/739,391

1. Petition for Extension of Time Under 37 CFR 1.136(a) (Small Entity) (Page 1);
2. Check for \$460 (Extension of Time Fee);
3. Amendment Transmittal Letter (Small Entity) (Page 1);
4. Check for \$398 (Additional Claim Fees);
5. Amendment (Page 1 thru 17);
6. Transmittal of Information Disclosure Statement (Page 1 & 2);
7. Check for \$180 (Fees set forth in 37 CFR 1.17(p) for Information Disclosure Statement);
8. Information Disclosure Citation (PTO-1449) (Page 1 thru 4) and;
9. Citations (18).

Express Mail No.: EV223552705US
Date Mailed: September 27, 2002
Attorney: John P. O'Banion
Docket No.: IB-1632

THE UNITED STATES PATENT AND TRADEMARK OFFICE



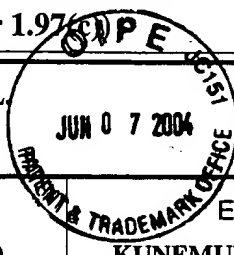
TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT

(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.

IB-1632

In Re Application Of: RONALD P. READE ET AL.



Serial No.

09/739,391

Filing Date

DECEMBER 15, 2000

Examiner

KUNEMUND, ROBERT M.

Group Art Unit

1765

Title: **PARTICLE BEAM BIAXIAL ORIENTATION OF A SUBSTRATE FOR EPITAXIAL CRYSTAL GROWTH**

Address to:

Assistant Commissioner for Patents
Washington, D.C. 20231

37 CFR 1.97(b)

1. ☐ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application; within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first Office Action on the merits, whichever event occurs last.

37 CFR 1.97(c)

2. ☒ The Information Disclosure Statement submitted herewith is being filed after three months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or after the mailing date of a first Office Action on the merits, whichever occurred last but before the mailing date of either:

1. a Final Action under 37 CFR 1.113, or
 2. a Notice of Allowance under 37 CFR 1.311,
- whichever occurs first.

Also submitted herewith is:

- ☐ a certification as specified in 37 CFR 1.97(e);

OR

- ☒ the fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under 37 CFR 1.97(c).

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT

(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.

IB-1632

In Re Application Of: **RONALD P. READE ET AL.**

Serial No.

09/739,391

Filing Date

DECEMBER 15, 2000

Patent & Trademark Examiner

KUNEMUND, ROBERT M.

Group Art Unit

1765

Title: **PARTICLE BEAM BIAXIAL ORIENTATION OF A SUBSTRATE FOR EPITAXIAL CRYSTAL GROWTH**

Payment of Fee

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☒ A check in the amount of **\$180.00** is attached.
- ☐ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. _____ as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of _____
- ☐ Credit any overpayment.
- ☐ Charge any additional fee required.

Certificate of Transmission by Facsimile*

I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (Fax. No. _____)

_____) on _____
(Date)

Signature

Typed or Printed Name of Person Signing Certificate

Certificate of Mailing by First Class Mail

I certify that this document and fee is being deposited on _____ with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Signature of Person Mailing Correspondence

Typed or Printed Name of Person Mailing Correspondence

*This certificate may only be used if paying by deposit account.

Signature

JOHN P. O'BANION, REG. NO. 33,201
O'BANION & RITCHEY LLP
400 CAPITOL MALL, SUITE 1550
SACRAMENTO, CA 95814
(916) 498-1010

Dated: 9/27/02

CC:

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)Applicant(s): **RONALD P. READE ET AL.**

Docket No.

IB-1632

Serial No.

09/739,391

Filing Date

DECEMBER 15, 2000

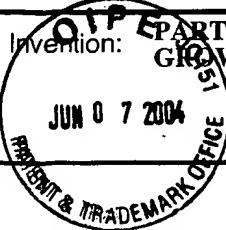
Examiner

KUNEMUND, R.

Group Art Unit

1765

Invention:

PARTICLE BEAM BIAxIAL ORIENTATION OF A SUBSTRATE FOR EPITAXIAL CRYSTAL GROWTH**JUN 07 2004**

I hereby certify that the following correspondence:

Transmittal of Information Disclosure Statement (Page 1 & 2)*(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

September 27, 2002*(Date)***Jerry V. King***(Typed or Printed Name of Person Mailing Correspondence)*
*(Signature of Person Mailing Correspondence)***EV223552705US***("Express Mail" Mailing Label Number)***Note: Each paper must have its own certificate of mailing.**

**INFORMATION DISCLOSURE CITATION**

(Use several sheets if necessary)

ATTY DOCKET NO.

IB-1632

SERIAL NO.

09/739,391

RONALD P. READE

FILING

DECEMBER 15, 2000

GROUP

1765**U.S. PATENT DOCUMENTS**

| *EXAMINER INITIAL | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
|----------------------|-----------------|------|------|-------|----------|-------------------------------|
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FOREIGN PATENT DOCUMENTS

| | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION | |
|--|-----------------|---------|---------|-------|----------|-------------|----|
| | | | | | | YES | NO |
| | 01/08236 | 07/2000 | WIPO | | | | |
| | 99/16941 | 06/1998 | WIPO | | | | |
| | 01/08233 | 07/2000 | WIPO | | | | |
| | 01/26165 | 07/2000 | WIPO | | | | |
| | 98/58415 | 06/1998 | WIPO | | | | |

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

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EXAMINER**DATE CONSIDERED**

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)Applicant(s): **RONALD P. READE ET AL.**

Docket No.

IB-1632

Serial No.

09/739,391

Filing Date

DECEMBER 15, 2000

Examiner

KUNEMUND, R.

Group Art Unit

1765Invention: **PARTICLE BEAM BIAxIAL ORIENTATION OF A SUBSTRATE FOR EPITAXIAL CRYSTAL GROWTH****JUN 07 2004**

I hereby certify that the following correspondence:

Information Disclosure Citation (PTO-1449) (Page 1 thru 4)*(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

September 27, 2002*(Date)***Jerry V. King***(Typed or Printed Name of Person Mailing Correspondence)*
*(Signature of Person Mailing Correspondence)***EV223552705US***("Express Mail" Mailing Label Number)***Note: Each paper must have its own certificate of mailing.**

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)Applicant(s): **RONALD P. READE ET AL.**

Docket No.

IB-1632

Serial No.

09/739,391

Filing Date

DECEMBER 15, 2000

Examiner

KUNEMUND, R.

Group Art Unit

1765Invention: **PARTICLE BEAM BIAxIAL ORIENTATION OF A SUBSTRATE FOR EPITAXIAL CRYSTAL GROWTH****JUN 07 2004****OFFICE OF
PATENT & TRADEMARK**

I hereby certify that the following correspondence:

Citations (18)

(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

September 27, 2002*(Date)***Jerry V. King***(Typed or Printed Name of Person Mailing Correspondence)*
*(Signature of Person Mailing Correspondence)***EV223552705US***(“Express Mail” Mailing Label Number)***Note: Each paper must have its own certificate of mailing.**



John P. O'Banion
O'BANION & RITCHEY LLP
400 Capitol Mall, Suite 1550
Sacramento, CA 95814

The United States Patent and Trademark Office mail room stamp hereon acknowledges receipt of the following items:

For: **PARTICLE BEAM BIAXIAL ORIENTATION OF A SUBSTRATE FOR EPITAXIAL CRYSTAL GROWTH**
In the names of RONALD P. READE; PAUL H. BERDAHL; RICHARD E. RUSSO
Serial No. 09/739,391

1. Transmittal of Information Disclosure Statement (2 pages);
2. Information Disclosure Statement (1 page);
3. Form PTO/SB/08A (1 page)
4. Citations (2)
5. Certification under 37 CFR 1.10
6. Check in the amount of \$ 180.00

Express Mail No.: EV352304411US
Date Mailed: 2 December 2003
Attorney: John P. O'Banion
Docket No.: IB-1632

THE UNITED STATES PATENT AND TRADEMARK OFFICE



17548 U.S. PTO
60/526464



TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.
IB-1632

In Re Application Of: **Ronald P. Reade et al.**

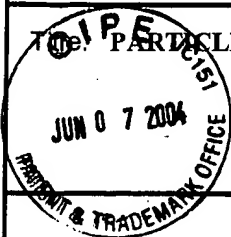
Serial No.
09/739,391

Filing Date
12/15/2000

Examiner
Robert M. Kunemund

Group Art Unit
1765

TOP SECRET
Particle Beam Biaxial Orientation of a Substrate for Epitaxial Crystal Growth



Address to:
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

37 CFR 1.97(b)

1. ☐ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

37 CFR 1.97(c)

2. ☒ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

☐ the statement specified in 37 CFR 1.97(e);

OR

☒ the fee set forth in 37 CFR 1.17(p).

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.
IB-1632

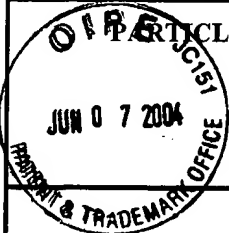
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12/15/2000

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Robert M. Kunemund

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1765



ARTICLE BEAM BIAxIAL ORIENTATION OF A SUBSTRATE FOR EPITAXIAL CRYSTAL

Payment of Fee

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☒ A check in the amount of **\$180.00** is attached.
- ☐ The Director is hereby authorized to charge and credit Deposit Account No. _____ as described below.
- ☐ Charge the amount of _____
- ☐ Credit any overpayment.
- ☐ Charge any additional fee required.

Certificate of Transmission by Facsimile*

I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (F:

(Date)

Signature

Typed or Printed Name of Person Signing Certificate

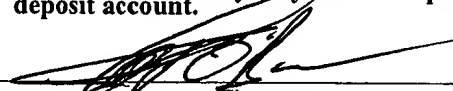
Certificate of Mailing by First Class Mail

I certify that this document and fee is being deposited on _____ with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Signature of Person Mailing Correspondence

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*This certificate may only be used if paying by deposit account.


Signature

Dated: **12/2/2003**

John P. O'Banion, Reg. No. 33,201
O'BANION & RITCHEY LLP
400 Capitol Mall, Suite 1550
Sacramento, CA 95814
(916) 498-1010

cc:



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appl. No. : 09/739,291 Confirmation No.: 2586
Applicant : RONALD P. READE ET AL.
Title : PARTICLE BEAM BIAXIAL ORIENTATION OF A SUBSTRATE FOR EPITAXIAL
CRYSTAL GROWTH
Filed : 12/15/2000
TC/A.U.: 1765
Examiner : KUNEMUND, R.
Docket No. : IB-1632
Cust. No. : 8156

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22213-1450

INFORMATION DISCLOSURE STATEMENT

Section 1. Preliminary Statements

Applicants submit herewith patents, publications or other information of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR 1.56.

The filing of this information disclosure statement shall not be construed as a representation that a search has been made (37 CFR 1.56(g)), an admission that the information cited is, or is considered to be, material to patentability or that no other material information exists.

Section 2. PTO Form 1449 (modified)

FORM 1449 IS BEING SUBMITTED HEREWITH IN 1 PAGE(S).

Section 3. Copies of Listed Information Items Accompanying This Statement

Legible copies of all items listed accompany this information disclosure statement.

Section 4. Concise Explanation of Non-English Language Listed Information Items

JP 01215966 A teaches a method for manufacturing a TiN film. See English-language abstract for additional information.

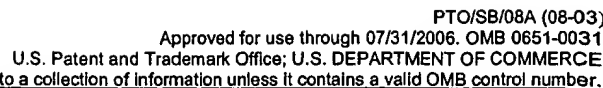
JP 07-065642 teaches a device for producing a polycrystalline thin film. See English-language abstract for additional information.

Section 5. Identification of Person(s) Making This INFORMATION DISCLOSURE STATEMENT

The person making this statement is the attorney who signs below on the basis of the information in the attorney's file

Dated: 12/2/2003


John P. O'Banion, Reg. No. 33,201
O'BANION & RITCHEY LLP
400 Capitol Mall, Suite 1550
Sacramento, CA 95814
(916) 498-1010



Substitute for form 1449/PTO

(Use as many sheets as necessary)

| | | | |
|-------|---|----|---|
| Sheet | 1 | of | 1 |
|-------|---|----|---|

Complete if Known

| | |
|------------------------|--------------------|
| Application Number | 09/739,391 |
| Filing Date | 12/15/2000 |
| First Named Inventor | Ronald P. Reade |
| Art Unit | 1765 |
| Examiner Name | Robert M. Kunemund |
| Attorney Docket Number | IB-1632 |

U. S. PATENT DOCUMENTS

[illegible]

FOREIGN PATENT DOCUMENTS

| FOREIGN PATENT DOCUMENTS | | | | | | |
|--------------------------|-----------------------|---|--------------------------------|---|---|----------------|
| Examiner Initials* | Cite No. ¹ | Foreign Patent Document | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear | T ⁶ |
| | | Country Code ³ Number ⁴ Kind Code ⁵ (if known) | | | | |
| | | JP 01215966 A | 09/1989 | Yamaki et al. | | |
| | | JP 07-065642 | 10/1995 | Yasuhiro | | |
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| Examiner Signature | | Date Considered | |
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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Examiner : KUNEMUND, R.
Docket No. : IB-1632
Cust. No. : 8156

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22213-1450

CERTIFICATION UNDER 37 CFR 1.10

I hereby certify that the enclosed

1. Transmittal of Information Disclosure Statement (2 pages);
2. Information Disclosure Statement (1 page);
3. Form PTO/SB/08A (1 page)
4. Citations (2)

are being deposited with the United States Postal Service on 2 December 2003 in an envelope as
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JOHN P. O'BANION

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(Signature of person mailing paper)



CERTIFICATION UNDER 37 CFR 1.10

I hereby certify that the enclosed:

Request for Verification of Consideration of Information Disclosure Statement
with Exhibits A through D

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envelope as "Express Mail Post Office to Addressee" Mailing Label Number
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JOHN P. O'BANION

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